

# **EXHIBIT C-1**

**BERNARD L. MADOFF INVESTMENT SECURITIES LLC**

In Liquidation

**DECEMBER 11, 2008**

**READ CAREFULLY**

**INSTRUCTIONS FOR COMPLETING CUSTOMER CLAIM FORM**

These instructions are to help you complete the customer claim form enclosed. If Bernard L. Madoff Investment Securities LLC ("Broker") owes you cash or securities and you wish to claim them, the trustee must **receive** your claim on or before the date specified on the claim form. An improperly completed claim form will not be processed but will be returned to you and, consequently, will cause a delay in the satisfaction of your claim.

**Item 1** is to be completed if on the date shown, the Broker owed you cash or if you owed the Broker cash.

If the Broker owes money to you, please indicate the amount in the space provided [Item 1a]. If you owe the Broker money, please so indicate in the space provided [Item 1b]. If the Broker owes you securities and you wish to receive those securities without deduction, then you must enclose your check for the amount shown in Item 1c payable to "Irving H. Picard, Esq., Trustee for the Broker." **Payments not enclosed with this claim form will not be accepted by the trustee for purposes of determining what securities are to be distributed to you.**

**Item 2** deals with securities (including any options) held for you. If the Broker is holding securities for you or has failed to deliver securities to you, please indicate by checking the appropriate box under Item 2 and set forth in detail the information required with respect to the date of the transaction, the name of the security and the number of shares or face value of bonds. With respect to options, set forth number and type of options, the exercise price and expiration date, e.g., 3 options [call] or [put] Xerox at 70 2x October 81. **PLEASE DO NOT CLAIM ANY SECURITIES YOU ALREADY HAVE IN YOUR POSSESSION.**

It would expedite satisfaction of your claim if you enclose copies of:

1. Your last account statement;
2. An explanation of any differences between cash balances and securities on your last account statement and cash balances and securities you claim;
3. Purchase and sale confirmations and canceled checks covering the items referred to on your customer claim form; and
4. Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.
5. Any other documentation which may assist the processing of your claim, such as correspondence, receipts, etc. In particular, if, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

**Items 3 through 9** must each be marked and details supplied where appropriate.

A claim form must be filed for each account.

## **When To File**

There are two deadlines for filing customer claims. One is set by the bankruptcy court for customer claims and one is set by the law for all claims.

The bankruptcy court has set \_\_\_\_\_ (date) \_\_\_\_\_ as the final day for filing customer claims. If your claim is received by the Trustee after \_\_\_\_\_ (date) \_\_\_\_\_ but on or before \_\_\_\_\_ [Date-six months after publication date] \_\_\_\_\_, your claim is subject to delayed processing and to being satisfied on terms less favorable to you.

**The law governing this proceeding absolutely bars the allowance of any claim, including a customer claim, not actually received by the trustee on or before \_\_\_\_\_ [Date-six months after publication date] \_\_\_\_\_. Neither the Trustee nor SIPC has authority to grant extensions of time for filing of claims, regardless of the reason. If your claim is received even one day late, it will be disallowed.**

Please file well in advance so that there will be time to re-file if, for instance, your claim is lost in the mail.

## **Where To File**

The completed and signed claim form, together with supporting documents should be mailed **promptly** in the enclosed envelope to:

Irving H. Picard, Esq.,  
Trustee for Bernard L. Madoff Investment Securities LLC  
Claims Processing Center  
2100 McKinney Ave., Suite 800  
Dallas, TX 75201

**\*\*\* PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL - \*\*\*  
RETURN RECEIPT REQUESTED**

Your claim is not filed until received by the Trustee. If the Trustee does not receive your claim, although timely mailed, you could lose all your rights against the Broker. Your return receipt will be the only document you will receive that shows your claim has been received by the Trustee.

**THIS INSTRUCTION SHEET IS FOR YOUR FILE - DO NOT RETURN**  
**YOU SHOULD RETAIN A COPY OF THE COMPLETED CLAIM FORM FOR YOUR RECORDS.**



**EXHIBIT D**

**BERNARD L. MADOFF INVESTMENT SECURITIES LLC**

In Liquidation

**December 11, 2008**

**TO BROKERS AND DEALERS HAVING OPEN SECURITIES POSITIONS OR MONEY BALANCES AS OF DECEMBER 11, 2008, WITH BERNARD L. MADOFF INVESTMENT SECURITIES LLC:**

The United States District Court for the Southern District of New York entered an order on December 15, 2008 finding that customers of Bernard L. Madoff Investment Securities LLC (the "Debtor") were in need of the protection afforded by the Securities Investor Protection Act of 1970, as amended ("SIPA"). The District Court immediately appointed a trustee to liquidate the business of the Debtor. A Receiver had previously been appointed by the Court on December 12, 2008 in response to a complaint filed by the Securities and Exchange Commission on December 11, 2008. To recover upon any claim you may have against the Debtor, you must carefully follow the instructions contained in this package.

Enclosed are the following documents concerning the liquidation of the Debtor:

1. A Notice; and
2. The Series 300 Rules adopted under SIPA regarding the close-out or completion of open contractual commitments.

You are urged to read the enclosed documents carefully. They explain what steps, if any, you must take to protect any rights and claims you may have in this liquidation proceeding. If you have a claim, immediately contact the Trustee at Irving H. Picard, Esq., Trustee for Bernard L. Madoff Investment Securities LLC, Claims Processing Center, 2100 McKinney Ave., Suite 800, Dallas, TX 75201 for the claim forms or consult Fed. Sec. L. Rep. (CCH) ¶¶27,150W and 34,185-187.

**Claimants are advised to mail their completed claim forms to the Trustee by certified mail, return receipt requested.** Please make a copy of the completed broker claim forms and retain them for your own records.

Your broker claim forms will not be deemed to be filed until received by the Trustee. **THE BROKER CLAIM FORMS MUST BE RECEIVED BY THE TRUSTEE PROMPTLY UPON THE EXPIRATION OF 30 CALENDAR DAYS AFTER DECEMBER 11, 2008, AS PROVIDED BY 17 C.F.R. 300.303, ON OR BEFORE JANUARY 12, 2009.**

While your claim is being processed, you may be requested to file with the Trustee additional information or documents to support the validity of your claim.

It is your responsibility to report accurately all securities positions and money balances in connection with your account with the Debtor. A false claim or the retention of property to which you are not entitled may make you liable for damages and criminal penalties.

Your cooperation in promptly requesting and returning the completed broker claim forms to the Trustee is in your best interest as it will help speed the administration of the liquidation proceeding.

Dated: (Date of Publication)  
New York, NY

Very truly yours,

Irving H. Picard, Esq.  
Trustee for the Liquidation of the Business of  
Bernard L. Madoff Investment Securities LLC